

FORM PTO-1390
(REV. 9-2001)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

2277.1005000

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

10/030727

INTERNATIONAL APPLICATION NO.

PCT/GB00/02692

INTERNATIONAL FILING DATE

13 July 2000
(13.07.00)

PRIORITY DATE CLAIMED

13 July 1999
(13.07.99)

TITLE OF INVENTION

IDENTIFICATION OF COMPUTERS

APPLICANT(S) FOR DO/EO/US

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☒ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☒ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information:

U.S. APPLICATION NO. (if known, see 37 CFR 1.51) 10/030727		INTERNATIONAL APPLICATION NO. PCT/GB00/02692		ATTORNEY'S DOCKET NUMBER 2277.1005-000	
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21. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... \$1040.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$890.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$740.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$710.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				CALCULATIONS PTO USE ONLY \$ 890.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).					
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	33 - 20 =	13	x \$18.00	\$ 234.00	
Independent claims	2 - 3 =	0	x \$84.00	\$ 0	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$280.00	\$ 280.00	
TOTAL OF ABOVE CALCULATIONS =				\$ 1404.00	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				+	
SUBTOTAL =				\$ 1404.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).					
TOTAL NATIONAL FEE =				\$	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +					
TOTAL FEES ENCLOSED =				\$ 1404.00	
				Amount to be refunded:	\$
				charged:	\$

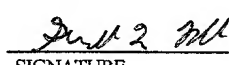
a. ☒ A check in the amount of \$ 1404.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
 A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
 overpayment to Deposit Account No. 08-0380. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card
 information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO: <u>James M. Smith, Esq.</u> <u>HAMILTON, BROOK, SMITH & REYNOLDS, P.C.</u> <u>530 Virginia Road</u> <u>P.O. Box 9133</u> <u>Concord, Massachusetts 01742-9133</u>	 _____ SIGNATURE <u>Gerald M. Bluhm</u> _____ NAME <u>44,035</u> _____ REGISTRATION NUMBER
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STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.27(a))-SMALL BUSINESS CONCERN

DOCKET NUMBER: 2277.1005-000

Applicant or Patentee: Adam Joshua Wynne

Application or Patent No.: 10/030,727

Filed or Issued: January 11, 2002

Title: IDENTIFICATION OF COMPUTERS

I hereby state that I am

☐ the owner of the small business concern identified below:

☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Infinia IP Limited

ADDRESS OF SMALL BUSINESS CONCERN 1st Floor, Exchange House

54/58 Athol Street

Douglas

Isle of Man IM1 1JD British Isles

United Kingdom

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416 or you may call 202-205-6618.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

☐ the specification filed herewith with title as listed above.

☒ the application identified above.

☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each person, concern or organization having rights in the invention must file separate statements as to their status as small entities. No rights to the invention are held by any person who would not qualify as a person under 37 CFR 1.27(a)(1), or by any concern which would not qualify as a small business concern under 37 CFR 1.27(a)(2), or a nonprofit organization under 37 CFR 1.27(a)(3).

Each person, concern or organization having any rights in the invention is listed below:

☒ no such person, concern, or organization exists.

☐ each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities.

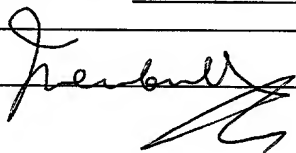
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.27(g)(2))

NAME OF PERSON SIGNING Infinia IP Limited By: JAMES IAN TURNBULL

TITLE OF PERSON IF OTHER THAN OWNER DIRECTOR

ADDRESS OF PERSON SIGNING 1st Floor, Exchange House, 54/58 Athol Street, Douglas, Isle of Man IM1 1JD British Isles, United Kingdom

SIGNATURE



DATE

29th April 02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Adam Joshua Wynne
Application No.: PCT/GB00/02692 Group: Not Assigned
Filed: PCT filed July 13, 2000 Examiner: Not Assigned
For: IDENTIFICATION OF COMPUTERS

Date: 11 January 2002
EXPRESS MAIL LABEL NO. EV 005369217 US

PRELIMINARY AMENDMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

This Preliminary Amendment is being filed concurrently with the U.S. National Phase of PCT application PCT/GB00/02692, filed with the PCT on July 13, 2000.

Please enter the Article 34 amendments which are included in the IPER being filed concurrently.

Please amend the application as follows:

In the Claims

Please cancel Claims 17 and 18.

Please amend Claims 2, 4, 5, 7, 8, 9, 12, 13, and 15. Amendments to the claims are indicated in the attached "Marked Up Version of Amendments" (pages i - ii).

2. (Amended) A method as claimed in claim 1 in which the data associated to that computer, and against which the unique identifier is recorded, relates to further data associated with such previous transactions.
4. (Amended) A method as claimed in claim 3 in which the predetermined number is unique to the hardware of the computer.
5. (Amended) A method as claimed in either one of claims 1 or 2 in which the other identifying information is information that is associated with the geometry of the hard disk.
7. (Amended) A method as claimed in either one of claims 1 or 2 in which the combining function is performed on the computer.
8. (Amended) A method as claimed in either one of claims 1 or 2 in which the unique identifier is sent to the remote site, from where it is compared to the store.
9. (Amended) A method as claimed in either one of claims 1 or 2 in which the combining function is an encryption process.
12. (Amended) A system as claimed in claim 11 in which the data associated to that computer, and against which the unique identifier is recorded, relates to further data associated with such previous transactions.

13. (Amended) A system as claimed in either one of claims 11 or 12 in which the searching means is arranged to establish a predetermined type of number as the identifying element.
15. (Amended) A system as claimed in either one of claims 11 or 12 in which the searching means is arranged to establish the other identifying information.

Please add new Claims 19, 20, 21, and 22.

19. (New) The method of claim 2, said further data comprising credit card details used during such previous transactions.
20. (New) The method of claim 4, the predetermined number being a serial number of the hard disk.
21. (New) A system as claimed in claim 12 in which said further data comprises credit card details used during such previous transactions.
22. (New) A system as claimed in claim 13, the predetermined type of number being a serial number of the hard disk.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By Gerald M. Bluhm
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Concord, MA 01742-9133

Dated: 1/11/02

MARKED UP VERSION OF AMENDMENTSClaim Amendments Under 37 C.F.R. § 1.121(c)(1)(ii)

2. (Amended) A method as claimed in claim 1 in which the data associated to that computer, and against which the unique identifier is recorded, relates to further data associated with such previous transactions[, such as credit card details used during such previous transactions].
4. (Amended) A method as claimed in claim 3 in which the predetermined number [is a serial number of the hard disk or another such number which] is unique to the hardware of the computer.
5. (Amended) A method as claimed in [any] either one of [the preceding] claims 1 or 2 in which the other identifying information is information that is associated with the geometry of the hard disk.
7. (Amended) A method as claimed in [any] either one of [the preceding] claims 1 or 2 in which the combining function is performed on the computer.
8. (Amended) A method as claimed in [any] either one of [the preceding] claims 1 or 2 in which the unique identifier is sent to the remote site, from where it is compared to the store.
9. (Amended) A method as claimed in [any] either one of [the preceding] claims 1 or 2 in which the combining function is an encryption process.
12. (Amended) A system as claimed in claim 11 in which the data associated to that computer, and against which the unique identifier is recorded, relates to further data associated with

such previous transactions[, such as credit card details used during such previous transactions].

13. (Amended) A system as claimed in either one of claims 11 or 12 in which the searching means is arranged to establish a predetermined type of number [such as the serial number of the hard disk of the computer] as the identifying element.
15. (Amended) A system as claimed in [any] either one of claims 11 or 12 [to 14] in which the searching means is arranged to establish the other identifying information that is associated with the geometry of the hard disk of the computer.